



Dumfries and Galloway
Integration Joint Board
Audit, Risk and Governance Committee

**Minute of Dumfries and Galloway
Integration Joint Board Audit, Risk and
Governance Committee meeting held on
30th November 2023**

For Approval

Minute of the Dumfries and Galloway Integration Joint Board (IJB) Audit, Risk and Governance Committee meeting held on 8th June 2023 at 2.00pm via TEAMS

Present:	Kim Dams	(KDa)	Chair - Voting Member
	Greg Black	(GB)	Voting Member
	Ian Carruthers	(IC)	Vice Chair – Voting Member
	Mark Kelly	(MK)	Interim Director of Nursing
	Katy Kerr	(KK)	Chief Finance Officer
In Attendance:	Rebecca Aldridge	(RA)	Senior Operational Manager – Social Work Services
	Kirsty Bell	(KB)	Programme Manager
	Julie Watters	(JWa)	Chief Internal Auditor

Observing:

1. APOLOGIES FOR ABSENCE

Apologies were received from Ken Donaldson, Peter Lindsay and Julie White.

2. DECLARATION(S) OF INTEREST

No declarations of interest were received.

3. MINUTES OF THE PREVIOUS MEETING OF 14TH SEPTEMBER 2023

The minutes were agreed as an accurate record for sign off.

4. ACTION LIST AND AGENDA PLANNER

Actions List

Members noted the updates provided, KK and KB agreed to review the closed actions in advance of the next meeting

5. CHIEF SOCIAL WORK OFFICER ANNUAL REPORT

RA highlighted that this this paper provides the IJB Audit, Risk and Governance Committee with a copy of the Chief Social Work Officer's Annual Report for 2022/23.

KK noted that this report should be presented to the next available meeting of the IJB, highlighting that although this report has had visibility within the Council and at this Committee, it would be beneficial for the IJB to review.

Action: RA

GB queried whether the programme of transformational change referenced within the report will be brought to the IJB in more detail. RA advised that any service change will follow appropriate governance routes, and as suggested this report will be taken to the IJB for awareness.

Decision(s):

IJB Audit, Risk and Governance Committee

- **Noted the Chief Social Work Officer's Annual Report for 2022/23**

6. EXTERNAL AUDIT UPDATE

KK provided a brief update on the work of the External Audit team, noting the following key points provided by PL:

- Work ongoing against the Council and College Audits, work on NHS and IJB audits will begin shortly
- Audit Scotland have been approached by the accounts commission around a data set for the IJBs finance and performance report for 22/23. External audit will draft a response and will share with IJB officers.
- Auditors have been invited to submit a data return on IJBs in line with the local government return, this will happen in January 2024.
- PL will provide the draft Annual Audit Plan at the next meeting of IJB Audit, Risk and Governance Committee.
- KK noted that the lead auditor for the IJB is retiring in March 2024, and Audit Scotland are undergoing a recruitment exercise for their replacement.

Decision(s):

IJB Audit, Risk and Governance Committee:

- **Noted the updates provided**

7. INTERNAL AUDIT QUARTERLY UPDATE

JWa provided a brief overview of this report, noting the following key updates:

- The IJB Internal Audit annual report for 2022/23 was presented to the IJB ARGC in September 2023 and detailed the range of assurances that had been provided from the NHS and Council audit work during the year and highlighted those of specific relevance to the IJB.
- The NHS Internal Audit Plan for 2023/24 was approved as two 6-monthly plans taken to the April and October 2023 ARC meetings. The first plan covered the following areas:
 - Adverse Event Management and Learning
 - Recruitment Process

- Use of Data and Information
- Estates Rationalisation
- Child Protection
- Infection Control
- Out of Hours Service
- Vehicle Use
- Creditors – Accounts Payable
- Property Transactions Monitoring
- The second plan covered:
 - Primary Care Claims
 - Patient Information
 - Interpretation and Translation Services
 - Sickness Absence
 - Young Patients Family Fund
 - Information and Data Management
- The Council's Audit Plan for 2023/24 was approved at their Audit, Risk and Scrutiny Committee meeting in April 2023. This plan covers a number of audits in relation to their main financial systems including:
 - Reviews of the Assessors
 - Social Care income
 - Procurement arrangements
 - iTrent self service
 - Further review of the monthly iTrent Timesheet Submission system
- JWa noted that 10 reports have been taken to NHS Audit and Risk Committee during the 2023/24 reporting year.
- The Home Teams report (A/09/23) provides assurance around joint working between the NHS and Council as they deliver in this area and is specifically highlighted in this report for information.
- JWa noted that she has been attending the revised IJB committee meetings following the recent change to the committee format within the IJB to assist with understanding the current business across the partnership.

GB noted that the Internal Audit leads and Chairs for the Partnership are holding a further meeting in January 2024 to continue the communication that has been built up over 2023.

GB highlighted that a number of the Audits noted within the report have turned out moderate assurance levels, querying if JWa was aware of the reasoning behind this. JWa noted that services across the partnership are still experiencing significant pressures, resulting in resources and people being stretched before the demands of audits are added on top.

KK noted that there has been a recent Social Work audit around processes and procedures which would be good for JWa to highlight to the next meeting.

Action: JWa

Decision(s):

IJB Audit, Risk and Governance Committee:

- **Noted the updates provided on progress against the Internal Audit work for 2023/24.**

8. GOVERNANCE UPDATE

KB noted that this iteration of the Governance Update focusses mostly on the development of the Risk Strategy for the IJB. Included within this report is a copy of the Risk Strategy, a copy of the live Risk Register and the Risk Appetite Statement for the IJB.

IJB Audit, Risk and Governance members noted support for an IJB Risk Workshop in early 2024.

Decision(s):

IJB Audit, Risk and Governance Committee:

- **Considered the IJB extant risks and considered any new emerging risks that require to be added to the register, where it is recommended that an IJB Risk Workshop to have further discussion**
- **Considered and provided comments on the Draft Risk Management Strategy where it is recommended this is considered and discussed further at an IJB Risk Workshop**

9. CHIEF FINANCE OFFICER UPDATE

KK advised members that she has begun preliminary planning with the External Audit team for the audit process and timetable for the annual accounts next year. A paper will come to the February meeting which sets out the proposed timetable.

Decision(s):

IJB Audit, Risk and Governance Committee:

- **Noted the updates provided**

10. IJB ARG Meeting Dates 2024

KK requested that JWa invite Richard Fox to attend the February meeting in JWa's absence to provide an update on the Council's Audit process.

Action: JWa

IJB Audit, Risk and Governance Committee:

- **Noted the 2024 meeting dates for the IJB Audit, Risk and Governance Committee**

11. DATE OF NEXT MEETING

The next meeting will be held on Thursday 22nd February 2024, from 2.00 pm – 4.00 pm via Microsoft Teams